
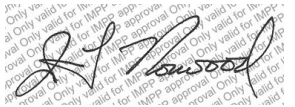


KANSAS DEPARTMENT OF CORRECTIONS

	INTERNAL MANAGEMENT POLICY AND PROCEDURE	SECTION NUMBER	PAGE NUMBER
		11-113A	1 of 6
		DECISION MAKING: Level of Service Inventory – Revised Risk and Needs Assessment	
Approved By:  Secretary of Corrections		Original Date Issued:	08-23-18
		Replaces Version Issued:	N/A
		CURRENT VERSION EFFECTIVE: 08-23-18	

APPLICABILITY:	<input checked="" type="checkbox"/> ADULT Operations Only	<input type="checkbox"/> JUVENILE Operations Only	<input type="checkbox"/> DEPARTMENT-WIDE
-----------------------	---	---	--

POLICY STATEMENT

The Department shall manage offenders using a risk management system. The Department shall use the Level of Service Inventory-Revised (LSI-R) as an instrument to assess potential risk of re-offending, determine intervention targets, measure offender change over time through reassessment, and establish the foundation for case management practices. The LSI-R shall be the primary risk/needs assessment tool. Only staff certified by the Department shall administer the LSI-R. The LSI-R should be reviewed by the staff responsible for case management decisions to determine if the current circumstances contribute to or protect from risk to reoffend. Assessing an offender's risk/need is an ongoing, dynamic process. Reassessments should be conducted as significant changes occur.

DEFINITIONS

Certified Rater: Any individual who has successfully completed LSI-R training conducted by the KDOC or as otherwise approved by Assistant Staff Development Manager or designee.

Criminogenic Need: Offender needs that are directly linked to criminal behavior. Examples of criminogenic needs are: criminal personality; antisocial attitudes, values and beliefs; low self-control; criminal peers; substance abuse; and dysfunctional family.

Level of Service Inventory-Revised (LSI-R): The LSI-R is an objective, 54-item risk/needs assessment instrument composed of 10 subcomponents that contain both static and dynamic risk factors. The instrument is a quantitative survey of attributes of offenders and their situations relevant to level of service decisions. The LSI-R provides a consistent and valid method of predicting risk to re-offend and a reliable means of measuring offender change over time through reassessment.

LSI-R Steering Committee: Multidiscipline group providing oversight for processes related to training, procedures, and quality assurance of the LSIR. Group includes representation from Staff Development, Parole, Juvenile Services, Community Corrections, Behavioral Health, and Facility.

Need: The requirement for some type of intervention to reduce criminal behavior.

Profile Report: A level-of-service classification based on an offender's overall assessment score.

Physically/Mentally Incapacitated Offender: An offender whose physical or mental condition results in the individual's being unable to participate in the LSI-R assessment process.

Reassessment: A subsequent assessment conducted after the initial assessment.

Risk: The potential for criminal behavior.

PROCEDURES

I. Offender Participation

- A. The LSI-R assessment shall be conducted with the offender's participation whenever possible.
 - 1. If an offender is unable or unwilling to fully participate, the assessment shall be completed by:
 - a. Obtaining as much information as possible from the offender;
 - b. Reviewing all available criminal history sources;
 - c. Reviewing inmate file information, including the RDU report;
 - d. Utilizing collateral contacts;
 - e. Utilizing official documents and,
 - f. Documenting in the assessment and in TOADS the refusal or inability to participate and the sources used to obtain/verify information.

II. Reception and Diagnostic Unit (RDU) Assessments

- A. RDU psychologists shall administer an LSI-R assessment during the intake interview on all RDU admissions except as follows:
 - 1. Admissions with 30 days or less to serve;
 - 2. Admissions with six (6) months or less to serve with no post release supervision;
 - 3. Condition violators with no new sentence with 90 days or less to serve;
 - 4. Fourth time DUI offenders; and,
 - 5. Probation Violators with no new sentence.

III. Facility Unit Team/Reentry Assessments

- A. Unit team/Reentry staff shall use the most recent LSI-R assessment regardless of entity, for case management and reentry planning.
 - 1. As part of effective case management practice, facility staff should continue to review risk/need areas, of the offender, and as part of reentry planning, identify updates in status, such as sustained employment during incarceration, completion of risk reduction programs or services, or significant changes in the offender's circumstances that may impact the offender's risk/need areas to the degree that completing a reassessment is warranted.
 - 2. If an offender has never had an LSI-R and is preparing for re-entry, an LSI-R shall be conducted to determine risk/need areas to be addressed as part of release planning except for those identified in II.A.1.-4., have a short length of stay. LSI-R's completed by community corrections for probation violators with no new sentence may be used for case management purposes if they are no older than 90 days. Otherwise, a reassessment should be conducted.

3. The Warden or his/her designee of each facility shall determine how many unit teams staff need to be certified to conduct LSI-Rs in the facility, ranging from two (2) to four (4) per facility, to include one (1) Unit Team Manager for the purpose of conducting local inter-rater reliability activities and providing guidance. Only those persons designated by the Warden shall be required to meet the certification requirements of this policy.

IV. Community-based Assessments

- A. In addition to IMPP 11-113A, Parole LSI-R assessments shall be conducted per IMPP 14-111.

V. Physically/Mentally Incapacitated Offenders

- A. Offenders with physical or behavioral disabilities shall receive an assessment.
 1. An offender's inability to participate shall be documented, and the assessor shall complete the assessment based on file information, case management knowledge of the offender, and collateral information.
- B. Offenders with hearing or speech disabilities shall be provided interpreter services by the facility or parole office.
 1. When using an interpreter for assessments, only a certified assessor shall initiate interview questions for the interpreter.

VI. LSI-R Interviews and Interview Guide Requirements

- A. Interviews with the offender are required for initial assessments and are encouraged for subsequent assessments, except in cases where the offender is unable or unwilling to participate.
 1. The offender's inability or unwillingness to participate shall be documented in TOADS, and the certified assessor shall complete the assessment based on file information, case management knowledge of the offender, and collateral information.
- B. The use of the LSI-R Interview Guide by the interviewer is encouraged to help ensure that relevant questions are used in a manner to elicit detailed information.
- C. The LSI-R Interview Guide shall not be provided to the offender.

VII. LSI-R Documentation Requirements

- A. Information obtained during the LSI-R interview shall be documented in detail and entered in TOADS.
 1. Offender information protected by HIPAA should be maintained in a separate location and/or file per division policy and procedure.
- B. The quality of the documentation entered in TOADS shall be such that other staff reviewing the documentation can effectively understand the rationale for the assessment scores given.

VIII. LSI-R Scoring and Corrections

- A. The LSI-R assessment shall be scored using the Scoring Guide.
- B. The LSI-R Scoring Guide shall not be provided to the offender.
- C. Scoring corrections to already scored assessments shall be made by conducting a reassessment.
 1. Comments to explain and support the need for a corrected assessment shall be entered in the "Remarks" field and into the applicable item/domain documentation field.

IX. LSI-R Quality Assurance

- A. The LSIR Steering Committee shall oversee the quality assurance (QA) process. Quality assurance may include:
1. Providing on-going technical assistance to staff;
 2. File reviews;
 3. Addressing QA in the Facility full scale security audit process;
 4. Addressing QA in employee (including supervisory) performance expectations and evaluations;
 5. Generating reports to identify potential problem areas (e.g., specific parole offices, facilities, and/or assessors);
 6. Refresher training; mandatory certification or recertification, and/or retraining as appropriate;
 7. Video-taped assessment reviews/critique; and,
 8. Inter-rater reliability and fidelity assessments conducted by Skill Developers Supervisors or other designated staff.
- B. Inter-rater Reliability Assessment Process.
1. Inter-rater reliability shall be defined as a two (2)-point variance, which means that the total score should be no greater than two (2) points higher or two (2) points lower than what is the correct or "true" score.
 2. Supervisors shall administer or initiate inter-rater reliability reviews as necessary to ensure LSI-Rs are conducted in a manner which upholds the validity of the instrument. Reviews may be conducted by the supervisor, a designee, or other staff who are assigned to conduct inter-rater and fidelity reviews.
 - a. Inter-rater reliability reviews should be conducted during the offender assessment interview and include independent scoring as well as a feedback session with the staff person being reviewed.
 - b. In addition to determining inter-rater reliability of the assessment score, reviewers should provide feedback regarding the assessor's interview and ability to elicit detailed information, the accuracy of scoring for each element, the quality of documentation and whether such documentation supports the score.
- C. Unsourced assessments are deleted once the assessment is more than 31 days old via an automated nightly process.
1. Staff shall be notified via email through the automated nightly process when they have an assessment that is 14 days or older so that the assessment can be finalized and scored in a reasonable time frame.
- D. Points of contact for notification of quality assurance issues are:
1. RDU LSIR Assessments: Behavioral Health Director.
 2. Facility Unit Team/Reentry Assessments: Classification Administrators

3. Community and Field Services: Parole Directors and Community Corrections Directors/Managers.

X. Training and Initial Certification Requirements

- A. All staff, who administer LSIR assessment, including contract staff, are required to successfully complete the KDOC LSI-R training and obtain and maintain certification. Supervisors and reviewers who conduct or review LSIR's as a primary function of their position shall also obtain and maintain LSIR certification. Pursuant to section III. A. 3. of this policy, only those unit team staff designated by the Warden are required to meet the training and certification requirements of this section.
 1. Prior to administering an LSI-R assessment, staff shall be required to obtain certification upon completion of training.
 - a. Certification requires satisfactory completion of LSI-R training and a minimum of a "satisfactory" overall rating on the LSI-R video-taped assessment critique.
 - b. Up to three (3) video-taped assessment opportunities shall be provided for initial certification. Failure to obtain certification on the third attempt shall result in non-certification and a requirement for LSI-R re-training.
- B. An employee who was certified because of a position previously held within KDOC or other agency may be required to successfully complete LSI-R initial training/certification to regain rater status after terminating employment or being on active military or medical leave for a period exceeding one (1) year.
 1. Exceptions to the training and/or certification process shall be determined by the Assistant Staff Development Manager on a case-by-case basis.
 2. If circumstances warrant, an alternative, individualized training plan may be arranged.
- C. All training shall be documented in the employee's official training record.

XI. Re-Certification and Other Quality Assurance Requirements

- A. To maintain certification, those certified shall be expected to maintain a "satisfactory" rating, as evidenced by training, performance reviews, inter-rater reliability activities, and/or the re-certification process.
 1. Re-certification.
 - a. Staff shall be required to successfully complete LSI-R recertification one (1) year after initial certification and every two (2) years thereafter.
 - b. Staff who fail to attempt recertification within the specified time frames or do not achieve a passing score shall be removed as a rater in accordance with the LSI-R Recertification Process.
 - (1) Staff who are removed as a rater because of failing recertification shall be required to successfully complete the KDOC initial LSI-R training and certification to regain rater status.
 - c. Recertification shall be scheduled by the Central Office Staff Development Division.
 2. Required Annual Assessments.

- a. Staff required to be LSI-R certified shall conduct at least one (1) assessment every 12 months, each fiscal year.
 - (1) Staff who fail to complete an assessment every fiscal year shall have their rater status removed and;
 - (2) Supervisors shall be notified for the employee to be counseled and any other action determined by the appointing authority and/or supervisor and;
 - (3) If the employee's rater status needs to be reinstated, the appointing authority and/or supervisor shall notify the Assistant Staff Development Manager, at which time the employee's rater status shall be reinstated.
3. Certification may be suspended as determined by quality assurance reviews.
 - a. The need for retraining shall be determined on a case by case basis by the supervisor and appointing authority.
4. Assessments conducted for certification purposes shall not be used for offender management.

XII. Contract Provider Access to LSI-R Assessments

- A. Facilities and Community and Field Services shall ensure that Department contracted treatment providers, with a release of information, have access to LSI-R assessments for treatment planning purposes.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS REQUIRED

None.

REFERENCES

IMPPs 14-111A, 14-120A

ATTACHMENTS

None.